



TEXAS HISTORICAL COMMISSION
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2018

COURTHOUSE EMERGENCY GRANT MANUAL

2019

**TEXAS HISTORIC COURTHOUSE
PRESERVATION PROGRAM**

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SECTION I: Program Rules and Regulations

The Texas Historical Commission's (THC) Texas Historic Courthouse Preservation Program (THCPP) is an unprecedented effort by the state and local governments to preserve historic county courthouses. It has been widely recognized and received numerous national awards for its achievements. To date, more than 67 Texas courthouses have been fully restored through this program.

The THCPP, created in 1999, exists under the authority of the Texas Government Code, Section 442.0081, Historic Preservation Program Grants and Loans; 442.0082, Historic Courthouse Project Requirements; and 442.0083, Funding for Historic Courthouse Preservation Program, Historic Courthouse Preservation Fund Account.

The implementing regulations for the program are described in the Texas Administrative Code, Title 13 Cultural Resources, Part 2 Texas Historical Commission, Chapter 12 Texas Historic Courthouse Preservation Program, as amended. These regulations were developed by the Texas Historical Commission to implement this program and can be found at [txrules.elaws.us/rule/title13_chapter12](https://rules.elaws.us/rule/title13_chapter12).

SECTION II: Starting the Project

Congratulations on receiving a Round X grant award! Our staff looks forward to working with you toward the preservation of your historic county courthouse. This section discusses the procedures and terms under which the grant must be administered, identifies the parties involved, and describes in detail the important first steps in the process. The task of planning, contracting for, and administering the actual construction activity will be described in a later section.

The preconstruction phase activities, including executing the program documents and contracts, relocation, etc., should provide ample time for establishing a dialogue, executing the agreements, and reviewing the final plans. Our expectation is that all parties share a common vision for this courthouse project, specifically the work described in previously approved 95 percent construction documents and/or referenced in the grant application. Please become familiar with the scope commitment as the construction contract documents are finalized.

We find that the most successful projects are the result of effective communication between the parties and a thorough understanding of the issues, roles, and responsibilities of each.

2A. Grant Orientation Meeting

Shortly after the grant award notification, contact your THCPP Project Reviewer to schedule a **grant orientation meeting** to familiarize the team with the grant program guidelines. All project participants, including representatives from the county or city who have or will have a role or interest in the project, professional architects, and interested members of the local community are invited to attend. The county judge, mayor, or other designated contact, and the project architect will each receive a copy of this grant manual. If needed, additional manuals can be printed from the enclosed CD. At this meeting, an external grant signature card will be distributed and completed by all applicable participants with signatory authority for the project, such as the county judge, mayor, and auditor.

On the same day as the **grant orientation meeting**, please schedule a separate meeting between the County Auditor, your THCPP Project Reviewer, and your architect for training on how to complete the Reimbursement Request Form.

The **grant recipient** carries the primary responsibility for executing this project in accordance with all procedures stated in this grant manual, for executing contracts with the professional architects, and for paying all costs associated with the project. The grant recipient must also ensure that all necessary THC approvals are obtained, reporting information is submitted to the THC, and meetings are properly coordinated with the THC.

The grant work includes administrative, legal, financial, and construction components. It may be useful, therefore, to identify the grant recipient's expertise in these areas and involve the appropriate participants at an early point in the process. Familiarize them with the procedures and call the THC if you need clarification on any issue. Typically, a County Judge or Commissioner takes on this role, but occasionally the grant recipient will hire someone as a construction manager to represent their interests and facilitate approvals required by the contractor on the job site or from the Commissioners' Court. That designated representative will be expected to attend biweekly construction progress meetings, coordinate with the THC on grant requirements, and make decisions about the project. Other duties undertaken by the grant recipient are the submission of Reimbursement Requests, typically by the Auditor and filing the original executed Grant of Easement by the County Clerk. The grant recipient shall prepare a statement concerning selection of the architect and transmit original copies of the signed documents to the THC for signature.

In addition, the county or city officials should familiarize themselves and comply with the **Uniform Grant Management Standards** (UGMS) produced and distributed by the Comptroller of Public Accounts. Chapter 783 of the Texas Government Code states "It is the policy of the state to promote the efficient use of public funds in local government and in programs requiring cooperation among local, state, and federal agencies." The UGM Standards can be found on the comptroller's website at comptroller.texas.gov/purchasing/docs/ugms.pdf.

The **project architect** is the hired project professional who advises the grant recipient on matters related to the project. The grant recipient should work with a preservation architect or architectural firm that has ample time and appropriate skills to execute the project in accordance with its needs and these procedures. The scope of the architect's responsibilities is defined in your architectural services contract and should be expanded as necessary to address these procedural requirements (see "Construction Project" section). The sub-architects, such as mechanical engineers, structural engineers, lighting designers, and paint conservators also provide valuable input to ensure the project meets the grant recipient's functional requirements. A Grant Completion Report must be prepared by the project professional per the requirements to satisfy the grant, and 10 percent of the grant amount will be held from reimbursement until this document is completed. Contractors and other professionals have a role in the production of this document and, therefore, should be notified of their responsibilities in advance of starting the work.

A **construction contractor** is hired and compensated by the grant recipient to execute the work in accordance with the approved construction documents. The contractor must be a well-qualified professional and fully bonded. Please note that the grant recipient is responsible for enforcing the prevailing wage rate under Texas Government Code, Chapter 2258.

The **THC** will be your partner during the planning and execution of the grant-funded work. Your **THCPP Project Reviewer** assists you in achieving a quality preservation project and facilitates reimbursement of funds. This individual will work closely with you and the construction team throughout the project. The **Courthouse Program Specialist** is available to assist you with administrative or reimbursement queries.

2B. Texas Historic Courthouse Preservation Program Staff

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2C. Funding Agreement

A **Funding Agreement** (Agreement), the body of which has been prepared for each project by the THC, states the obligations of the grant recipient and the THC regarding the grant project (see front pocket for an original copy). By its execution, the grant recipient commits to carry out the project in conformance with the program requirements and the procedures of this manual.

Please review the Agreement language carefully and ensure that the terms and grant recipient's responsibilities under the Agreement are well understood by all parties.

Funding Agreement Execution
The THC will prepare and provide the Funding Agreement to the grant recipient for signature
The THC will prepare and provide Attachment A to the grant recipient for signature
The grant recipient's Project Architect will prepare and provide Attachments B, C, and D to the THC
The grant recipient will prepare and provide Attachment E to the THC
The THC will assemble the completed documents for signature by the commission's Executive Director
The THC will retain the original executed Funding Agreement with all attachments for its files and return a copy of the executed document to the grant recipient.

The Agreement must be signed by both parties prior to reimbursement and within 90 days of the date of the award. Undue delay in executing this Agreement may result in forfeiture of the grant funds. If the Agreement is not executed within 90 days of the grant award, the grant recipient must submit a request for an extension in writing to the Program Director, Sharon Fleming.

Please note that it may be necessary to amend the Agreement to reflect any significant changes to the project cost, schedule, or scope by updating the relevant Funding Agreement attachments.

Supporting documents for the agreement include the following attachments to the agreement (see samples provided in the Appendix).

- **Attachment A:** Source of Funds Statement and Verification
- **Attachment B:** Project Cost Statement
- **Attachment C:** Scope of Work
- **Attachment D:** Project Schedule
- **Attachment E:** Resolution of Support

ATTACHMENT A: SOURCE OF FUNDS STATEMENT AND VERIFICATION

The Funds Statement prepared by the THC establishes the award amount provided by the state and the minimum match amount that the grant recipient will provide to accomplish the scope of work. The **local share** figure generally matches the “cash contribution” figure you provided in the project funding request section of your Round X grant application. The **state share**, or THCPP grant award amount, is the amount requested in the application or another amount as determined by the THC. Note that the **total project cost** used to establish the Source of Funds Statement is generally taken from the estimated total project cost provided in the grant application. However, if more accurate information is available at the time the Agreement is finalized or after its execution, the statement should be revised to reflect the most current information.

The **verification** commits the grant recipient to providing all remaining funds necessary to complete the grant project. **Please note that the state's award is based on the grant application's estimated total project cost, yet it is the obligation of the grant recipient to meet all final project costs.** The local funding share may be provided in ready cash, loans, certificates of obligation, or other non-THC grant awards. State funds are distributed on a cost-reimbursement basis.

Once a bid is accepted and a contract signed, if the total project cost either increases or decreases by more than 10 percent after the Source of Funds Statement has been signed by the grant recipient and submitted to the THC, an amended source of funds statement must be approved, signed, and attached to the Funding Agreement for the THC.

ATTACHMENT B: PROJECT COST ESTIMATE

The Cost Estimate, or “opinion of probable construction cost,” must be prepared based upon the approved grant application budget and approved funding, and provided as an attachment to the Agreement. Organize costs by the 16 CSI divisions so that the cost estimate aligns with the grant application budget and THCPP Reimbursement Request form. Ensure that the total amount of the eligible project costs matches or exceeds the “estimated total project cost” figure used in Attachment A.

Consult with the THC or refer to Section 3B of this manual to identify **any ineligible project** costs in your estimate, such as non-preservation-related expenses; these costs must be totaled separately. All project costs that are not eligible for reimbursement from this grant program are the sole responsibility of the grant recipient and should be budgeted as such.

Professional services fees are added to the eligible construction costs to establish the total estimated project cost. Note that the professional fees for a Round X construction project, in excess of 4 percent of the eligible construction costs for this phase of work are ineligible for reimbursement by THC, unless the plans and specifications have not been previously developed and approved. If construction plans have not been completed, up to 13 percent of the total construction cost is eligible toward the development of construction documents. Professional services associated with ineligible project scope are ineligible for reimbursement by THC.

The Cost Estimate represents your architect's opinion on the cost of the work at the time of application, based on their professional experience, and shall include reasonable allowance for contingency, market fluctuations, and unforeseen conditions. Once a bid or guaranteed maximum price is received by the grant recipient and a contract entered for the construction, a revised budget will be submitted by the grant recipient to the THCPP project reviewer as an updated Attachment B to the Funding Agreement to reflect the new project cost. A Funding Agreement Amendment will be signed by the grant recipient and the THCPP Director to accept the new budget. If the new project cost is 10 percent more or less than the original Attachment B cost estimate, then an updated Source of Funds Statement, Attachment A, will be provided based upon the updated contribution percentage by the grant recipient. Please note that building a contingency into the project budget is recommended to assist with cost overruns or unforeseen work items. The former is typically called a “bid contingency,” and the latter is a “construction contingency.” We recommend between a 5 percent and 10 percent construction contingency.

If the total project cost either increases or decreases by more than 10 percent after the Source of Funds Statement has been signed by the grant recipient and submitted to the THC, an amended source of funds statement must be approved, signed, and attached to the Funding Agreement for the THC to update the contribution percentages of the parties.

ATTACHMENT C: SCOPE OF WORK

Work to be performed under the Agreement is described in the Scope of Work. This attachment should be developed and provided by the project architect and correspond with the scope of work submitted with the grant application. This document establishes all parties' general expectations for the project and should clearly state the treatment approach; (i.e., restoration or rehabilitation) selected for this building and reference a dated version of the 95 percent or 100 percent complete construction documents—if they exist—for the specific details of the work to be performed. If the scope of work has changed from that submitted with the grant application, all parties must agree to the new scope as provided. The full scope of work shall be met unless specific written agreement is given by the THC.

Note that this document is also pertinent to the Easement and is a required attachment to that document.

ATTACHMENT D: PROJECT SCHEDULE

Following the general grant orientation meeting, the project architect will develop the grant recipient's Project Schedule, which lists major project milestones. It must take into consideration the work to prepare, execute, and obtain approvals for the program documents and proposed final contract documents (see Section 3A). Consult with the THC on the proposed schedule prior to its final inclusion in the Agreement.

ATTACHMENT E: RESOLUTION OF SUPPORT

The county commissioners' court or city council must execute a resolution of support for acceptance of the grant award and its terms. A suggested text is provided in the sample document in the Appendix. The resolution shall commit the grant recipient or municipality to compliance with the guidelines of the program, adherence to the terms of the funding agreement, and provide assurance that the grant recipient is committed to achieving the project as described in the project description and philosophy. The grant recipient must be aware that its financial commitment to the project may extend beyond the amount estimated as the grant recipient's participation in the project due to unforeseen circumstances.

Please place a copy of the executed Funding Agreement in this manual for your future reference.

2D. Grant of Easement

In the Round X application for a THCPP grant, your grant recipient may have agreed to convey a **Grant of Easement** (easement) on the property to the THC. A preservation easement reflecting the terms has been duly prepared by the THC in exchange for an award of state grant funds for the subject project (see front pocket). The document states the “Grantor (grant recipient) hereby grants and conveys to the grantee (THC) an interest and easement in the Property, for the preservation of historic, architectural, scenic and open space values.” The easement remains in effect in perpetuity or as otherwise agreed.

For detailed information about the easement procedures and required attachments, please see the THC’s *Policies and Procedures for the Execution and Maintenance of Grants of Preservation Easements* in the Appendix of this grant manual.

Note that the easement should be signed by both parties prior to reimbursement and within 90 days of the date of the award. Undue delay in executing this easement may result in forfeiture of the grant funds. If the easement is not executed within 90 days of the grant award, the grant recipient must submit a request for an extension in writing to the Program Director, Sharon Fleming.

The following Attachments to the Preservation Easement must be promptly prepared by the grant recipient as outlined in the THC’s *Policies and Procedures for the Execution and Maintenance of Grants of Preservation Easements* and in consultation with your Courthouse Project Reviewer. These Attachments will be reviewed and approved by all parties before the Easement is executed.

ATTACHMENT A

Attachment A is a legal description of the property and its associated grounds. Attachment A must indicate the property boundaries and depict all buildings and site features on the property, in graphic and written form. A representation or list of any liens or encumbrances on the property must also be provided.

“Attachment A: Legal Property Description” documentation, includes:

- Legal description of the property boundaries
- Site plan and/or survey of the property
- Photographs showing major views of the property

ATTACHMENT B

The grant recipient must document the initial level of preservation and establish a permanent reference with respect to the condition of the property on the date the easement is executed. In addition, the nature and scope of protection for the property relative to its design, structure, materials, and workmanship will be defined in consultation with the THC.

“Attachment B: Level of Preservation” documentation includes

- List of character-defining materials, features, and spaces that constitute the scope of the protection provided by the easement
- Narrative description of their current condition

And to complement **“Attachment B: Level of Preservation,”** the grant recipient must provide the following items to be maintained in the conservation easement file for the life of the easement.

- Photographic record of all exterior elevations and significant interior spaces and elements
- Photographic log of all photographs describing the subject matter
- A keyed location map referencing all provided photographs
- Measured architectural drawings drawn to scale showing the building as it currently appears, if available—but at minimum, floor plans showing the building’s current configuration.

ATTACHMENT C

The grant recipient must provide documentation for Attachment C, the Scope of Work for any anticipated projects or improvements to the property. All construction plans and specifications for any proposed construction activity associated with the grant of easement shall be reviewed and approved by the THC and referenced in the Scope of Work description. Following the execution of the work, photographs documenting the significant changes to the property will be submitted to the THC as part of the Completion Report.

“Attachment C: Scope of Work” includes:

- Narrative description of the Scope of Work
- Reference to any construction documents or design documents that may exist for the project and have been approved by the THC

The final approved version of the easement must be signed and notarized by the grant recipient and the THC. The original, signed copy of the Preservation Easement with all attachments will be duly filed in the county records by the county clerk not later than 30 days following the execution of the easement. The Grantor should then transmit a certified copy of the easement with the recordation data to the THC (Grantee) for its records.

THC staff will review all attachments provided by the grant recipient within 30 days. Attachments will be approved by all parties before the Easement is signed or finalized. The final approved version of the easement must be signed and notarized by the grant recipient and the THC. The original, signed copy of the easement with all attachments will be duly filed in the county records by the county clerk. The easement grant recipient should then transmit a notarized copy of the easement with the filing stamp to the THC for its records.

Grant of Easement Execution
The THC will prepare and provide the easement to the grant recipient for signature (front pocket)
The grant recipient’s project architect will prepare and provide Attachments A, B and C to the THC
The THC will review and approve all attachments, and then assemble the completed documents for notarized signature by the grant recipient and the THC Executive Director
The grant recipient will file the original signed and executed easement in the county records with the county clerk
The grant recipient will mail an official filed copy of the signed and executed easement to the THC
The THC will retain the filed copy of the easement with all attachments for its files

Note that as of the date of the easement’s execution, the grant recipient shall maintain, at its own cost, insurance coverage against loss in the amount of the estimated historical replacement cost of the building as a condition of the easement. An update on the insurance coverage maintained by the grant recipient should be provided annually to the THC for its records.

Please place a copy of the executed easement in this manual for your future reference.

SECTION III: Project Execution

The THCPP grant awards generally fall into one of three types: construction, planning, or a combination of both. A planning grant supports the development of architectural drawings, or plans, and specifications for the construction activity that follows at some later date. A construction grant takes those architectural plans and specifications and adds the necessary contractual information, places them out for bid, and awards the construction project to a contractor who executes the work.

A typical multi-million-dollar construction project is highly complex and requires considerable oversight to achieve the desired outcome. It is critical to determine how the various types of information will be transmitted, reviewed, and approved at the earliest point in the process.

Please be aware that **failure to communicate** necessary information or obtain approvals from the THC can delay the project, cause reimbursements to be withheld, and/or cause the contract to be terminated.

The THCPP-Funded Construction Phase of the Work Will Include the Following Important Steps:	
(1) Review/Transmit Architectural Contract and Selection Statement to the THC <ul style="list-style-type: none"> • Ensure that the contract includes all services required under this manual 	
(2) Construction Document Review and Approval <ul style="list-style-type: none"> • All parties meet at the site to examine architectural and historic issues • The THC reviews proposed 100 percent plans and specifications and provides comments • Project architect and architects respond to comments in writing • Parties reach consensus on contract document content • Project architect provides revised 100 percent contract documents to the THC • The THC reviews final construction documents and issues a Notice to Proceed to Bidding 	
(3) Bidding and Award of Construction Contract <ul style="list-style-type: none"> • Advertise and receive bids from qualified general or prime contractors • Review bids with grant recipient and the THC • Negotiate, select construction contractor, and award contract • Transmit construction contract to the THC • THCPP staff will issue a Notice to Proceed to Construction once they determine all grant paperwork is complete, and a construction contract is signed that appropriately addresses all aspects of the Funding Agreement. 	
(4) Pre-Construction Conference <ul style="list-style-type: none"> • A pre-construction conference is held with the THC, grant recipient, project architect, and contractor • Provide schedule of values for all eligible grant project costs and a subcontractor list to the THC before or during the conference 	
(5) Install THCPP Construction Sign on Site	

The THCPP-Funded Construction Phase of the Work Will Include the Following Important Steps (Continued)

(6) Construction Administration

- The project architect is responsible for submitting a monthly progress report to THCPP staff reflecting the percentage of completion, with an update of work performed and any issues of concern. Meeting minutes of monthly construction progress meetings will be submitted for review and retention in the project file.
- THCPP staff will visit the project monthly, or as determined necessary by that staff, to properly review the ongoing work.
- THCPP staff will review the work for compliance with the Secretary of the Interior's standards and can request changes to the project at any time to ensure better compliance with those standards.
- THCPP staff has the authority to review and reject work that is not considered in compliance with program requirements and the Secretary of the Interior's standards.
- Invoices for professional services and contractor pay applications are submitted to the grant recipient, reviewed and approved by their project architect as necessary, and paid by the grant recipient
- Following payment of project costs, reimbursement requests and supporting documents are submitted to the THC for reimbursement.
- Reimbursement requests are received by the THC and reviewed within 30 days for compliance with the approved agreement and project budget.
- The THC reimburses the grant recipient for eligible grant project costs monthly or on a less frequent basis on a pro-rata share.

(7) Project Close-out

- Closing out a construction project involves your architect and contractor meeting their contractual obligations to the owner. For this grant project, additional work involves the preparation of a completion report, to be submitted to the THC for final reimbursement. See additional information in **Section 4** on **p. 25** of this manual.

3A. Project Review

The preconstruction and construction phases of the project generally follow the standards of the industry; however, the THC will provide architectural review of the work and play a role in the decision-making process.

REVIEW AND TRANSMIT SELECTION STATEMENT AND ARCHITECT'S CONTRACT TO THE THC

The grant recipient will negotiate a contractual arrangement with a licensed architect or architectural firm following the orientation meeting. The **Contract between the Owner and Architect** (usually AIA Document form B141) should specify the services that will be provided by the project architect for this grant-funded project.

Essential elements of the architect's contract are the scope of services, deliverables, fees, and schedule. These are also the subjects of attachments to your funding agreement with the THC, so the architect should **ensure that their professional services contract is consistent with their responsibilities under this program.**

For construction-only projects, services of the architect will include completion of the plans and specifications, bidding, and negotiation phase services and construction contract administration. The architect's contract should specify the number of site visits/progress meetings during construction. The THC recommends a minimum of two meetings per month onsite until the project is complete and all punch list items are resolved. At least one construction meeting per month should be coordinated with THCPP staff to accommodate their regular attendance. The architect is also responsible for providing meeting minutes for all construction meetings and progress photos at least once a month. Reimbursement by the THC to the grant recipient can be delayed until these are received. In addition, after the construction project has been completed, the architect must provide a completion report as an additional service (see Project Close-out, Section 4). We also strongly recommend including a one-year follow-up inspection with the entire team, and that the project architect assists the grant recipient through the one-year warranty period.

While the architects' fees for the preconstruction and construction phase work may exceed 4 percent of the eligible construction cost for this phase (16 percent of the construction cost for services if design is included), the THC will not reimburse the grant recipient for professional services more than the respective limitations.

The grant recipient must provide a copy of its contract with the architect, any amendments, a statement of the architect's qualifications, and the resume of the project architect prior to submitting any requests for reimbursement.

CONSTRUCTION DOCUMENT REVIEW AND APPROVAL

Proposed 100 percent-complete plans, specifications, project manual, and other documents (contract documents) must be submitted to the THC for final review and approval prior to awarding a construction contract or initiating any grant-funded construction activities. Details for all value engineering modifications must be submitted to THC staff for review and approval as well.

These documents will be reviewed by the THC to determine if they are consistent with the approved master plan and the applicable treatment within the Secretary of the Interior's *Standards for the Treatment of Historic Properties*, and the **restoration date** stated in the grant application. Note that restoration is defined as "the act or process of accurately depicting the form, features, and character of a property as it appeared at a **particular period of time** by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration. The limited and sensitive upgrading of mechanical/electrical/plumbing systems and other code-required work to make the property functional is appropriate within a restoration project." **Rehabilitation**, by contrast, does not involve the removal of historic features and no specific date is represented.

The "front end" of the contract documents must address all legal requirements the grant recipient must meet under the Texas Government Code, and the relevant sections of the Uniform Grant Management Standards should be consulted for bidding requirements. The project manual should **specify the general contractor's responsibilities** as they pertain to the requirements of this program (i.e., project sign, progress photos, contractor's meeting minutes, record drawings, and/or record photographs). It should also specify the minimum experience and qualifications of the general contractor and major subcontractors. See next sub-section on "Bidding."

THC staff will require approximately two to four weeks from the date of receipt for review of the proposed 100 percent-complete contract documents. THC staff may request an onsite meeting to familiarize themselves with the project and discuss the status of the proposed plans. Selective demolition may be encouraged to verify hidden conditions and reduce the need for change orders during construction. The grant recipient should ensure that the project architect implements the THC-recommended revisions into the plans and completes the plans in a timely manner.

Note that previous approval of the documents does not preclude further comments from the THC on any aspect of the current submittal. If conditions related to the project change, new information becomes available, or elements that are inconsistent with the approved master plan or the applicable scope become apparent, the plans should be revised appropriately. The THC and grant recipient review of the 100 percent documents will entail comprehensive evaluation based on current information and experience to ensure that the high standards set for this program are met.

After an internal THC review, THC staff may request a meeting with the project architect and grant recipient to resolve substantive concerns regarding any aspect of the proposal. The THC will provide written comments to the project architect via the grant recipient. The project architect and architects must then revise the documents to address the comments of the THC and submit the revised 100 percent documents prior to bidding. When this set is received and it is determined that it conforms to the THC comments and the program requirements, the THC will issue a **Notice to Proceed to Bidding**. Note that **the grant recipient may not advertise the project for bid or incur any construction-related expenses prior to receiving the Notice to Proceed to Bidding**. Changes to the construction documents may be requested by the THC at any time, including after the Notices to Proceed to Bidding and/or Construction have been issued.

BIDDING AND AWARD OF CONTRACT

One copy of the final **contract documents** should be forwarded to the THC prior to bid advertisement. The package should contain the approved contract documents, including the architectural drawings and specifications, and the project manual. **Special bidding procedures that apply to state construction, such as HUB participation and good faith agreements are not required under this program. The grant recipient should comply with Uniform Grant Management Act, the State Purchasing Act, and with its own procedures for bidding work.** These procedures include solicitation for bid through public notice, public bid opening, and contract award to the lowest and best bidder. The THC recommends that in determining the lowest and best bid, the grant recipient thoroughly consider the bidder's abilities, capacity, and demonstrated skill to perform this specialized work.

The project architect shall copy the THC on any addenda issued during the bidding phase. The addenda will be reviewed by the THC to determine its impact on the previous approval. Upon receipt of bids, **the bidder's list, advertisements, and tally sheet should be forwarded to the THC by the grant recipient**. If the bids received exceed the estimated construction costs, the grant recipient will be held responsible for contributing the funds more than the estimated costs per Article 4.03 in the Funding Agreement (see Section 3B, project cost changes).

While the THC will consider all proposed costs savings, scope changes at odds with the master plan and/or grant application that affect the quality of the project or do not meet the applicable Secretary of the Interior's *Standards* will not be permitted. For the success of the project, it may be necessary for the grant recipient to increase its share of the project budget to address the shortfall. In addition to any contingencies included in the contractor's contract, we recommend that the grant recipient budget and maintain a minimum 4 percent or 5 percent contingency to address unforeseen conditions. The Funding Agreement must be amended if there are major changes in the scope of work, more than 10 percent variation in the project cost, or the project schedule.

If the grant recipient receives base bids and alternates that total less than the total project cost stated in the Project Cost Estimate, state funds will be reduced by an amount that maintains the original percentage of the state and local contributions toward eligible project costs. The construction contract should be executed before the due date established for the project in the Project Schedule. If this schedule is not met, a written extension request must be made at least 14 days prior to the scheduled deadline. **All projects should begin construction within six months of the grant award, or risk forfeiting their grant funds.**

Through negotiation, the grant recipient will enter into a contract with the selected bidder. **A copy of the executed construction contract should be forwarded to the THC as soon as it is available.** When the contract is received, the THC will issue a **Notice to Proceed to Construction**.

PRE-CONSTRUCTION ACTIVITIES

A **Pre-Construction Conference**, intended to clarify the responsibilities and operating procedures, should be held shortly after the signing of the construction contract and before any construction work is started. The project architect should schedule this meeting and ensure that a representative of the grant and THC staff are included. The purpose of this meeting is to establish, delineate, and clarify the specific authorities and responsibilities of each party. THC staff will describe the grant project procedures that will take place during construction.

The grant recipient is encouraged to appoint a representative to monitor the project and participate in all construction-related activities, including plan review, site visits by the architect and/or the THC, and construction progress meetings. **The grant recipient should ensure that the project is executed in accordance with the plans approved by the THC and is completed by the end date specified by in the Funding Agreement.** Liquidated damages reimbursing the grant recipient for its costs from the contractor's failure to complete the project by the contracted date may need to be included in the agreement between the owner and contractor.

At the beginning of the project, **the contractor, in consultation with the project architect, will provide a construction schedule, a schedule of values, and a submittal schedule** for the project showing all the contractor's proposed submittals, shop drawings, change order procedures, testing reports, and product reports. The THC will identify which submittals should be submitted to our office for review. The project architect should coordinate approval of these submittals with the THC.

A communication protocol and responsibility chart should be established to identify each party's obligations for: regular production of meeting minutes and/or progress reports and progress photographs; routing of submittals, requests for information, change orders, and other items requiring multiple approvals; development of meeting agendas and schedule; transmittal of architects' testing reports, such as mortar analysis; review of mock-ups, etc.

Note: If the project involves a courthouse designated as a State Antiquities Landmark, the grant recipient or its architect will complete the permit application and forward it to the required parties for review, approval, and signature. Upon receipt of signatures, a permit will be issued that will satisfy the grant recipient's obligation under the Antiquities Code of Texas, pending receipt of the Project Completion Report. **This permit should be posted by the contractor at the job trailer.**

A project sign shall be provided by the contractor promptly and placed on the job site. (Please see sign specification in the Appendix.) Other business advertising will not be permitted on the site.

CONSTRUCTION ADMINISTRATION

As the construction progresses, the THC will meet on a regular basis with representative(s) of the grant recipient and project architect to visit the site and observe the work. **Scheduled in coordination with THC staff, progress meetings with all parties should generally take place monthly.** The project architect is generally expected to visit the site at least twice per month and report to the commissioners' court or city council on a regular basis if requested by the grant recipient.

To fulfill the requirements for reimbursement, the project architect should prepare and submit the project meeting minutes and/or progress report and progress photographs to all parties at least monthly. The report, or minutes, should include: the percentage of work completed by trade; work progress as compared to schedule; work currently being accomplished; pending actions; and questions. The THC will use these reports to monitor the progress of the work. The project architect's regular progress reports, photos, and certification of the contractor's payment requests will qualify the grant recipient to receive monthly reimbursement of construction expenses. See Section 3B. Reimbursement.

As part of the architectural review, THC staff will review selected product submittals and proposals by the contractor. Please provide these for review electronically, if possible. Mock-up reviews will be conducted by the THC and the project architect. The project architect must inform the THC of any pending actions that affect the quality of scope or the project and request review and approval from the THC.

The contractor must keep a current set of as-builts on site throughout the project, and be prepared to submit a copy of this set to the THC and the building owner as part of the project close-out requirements.

If the project architect notes that the work is behind schedule to any significant extent, the THC should receive a separate notification calling attention to the schedule change. If it is evident that the project schedule for that quarter cannot be met, the grant recipient must request an extension for the project in writing.

Change orders that affect the project scope, architectural features, or quality of the project will require prior THC approval. We recommend that change requests are informally reviewed with THC staff. A signature line for the THC should be provided on the change order forms. Decisions that significantly change the total cost of the project may require bilateral amendments to the Funding Agreement.

Regular payment applications made by the contractor and reviewed and approved by the project architect will not be reviewed by the THC prior to payment by the grant recipient. An exception to this is release of retainage requests by the contractor. These should be discussed with the THC prior to the project architect's approval and submittal to the grant recipient. The THC will hold 10 percent of its grant award until the project has met all standards for completion. The grant recipient should carefully consider release of its retainage as it relates to their contract with the general contractor.

3B. Reimbursement

The THC has maintained an excellent record in the administration of state and federal grant funds. We encourage the grant recipient's treasurer or auditor to establish a separate account for this project and to maintain an up-to-date budget of anticipated project costs and a record of expenditures. A grant recipient's expenditure of money received under this program is subject to audit by the State Auditor in accordance with Chapter 321 of the Texas Local Government Code.

The program distributes funding on a **cost-reimbursement basis**. The grant recipient shall be responsible for developing a method for paying all project-related expenses as they come due, then requesting reimbursements from the THC. Reimbursement from the THC will be made based on the pro-rata share as stated in Attachment A. Reimbursement may be withheld until all required documentation is received and approved by the THC and until Notices to Proceed to Bidding and Construction are issued by THCPP staff.

Documentation of Eligible Project Costs

The Total Project Cost for this grant project includes the total construction cost plus related costs, such as professional fees, contractor's overhead and profit, testing, permits, advertising for bids, etc. These costs are eligible for reimbursement under this program, providing they have not been incurred prior to the grant award.

Your THC staff architect or preservation architect should be consulted if you have questions regarding the eligibility of project costs. A list of possible eligible and ineligible costs follows:

Eligible Expenses Are:
• Advertising for construction bids
• Civil engineering/property surveys
• Demolition of non-historic structures or features on the historic site
• Hazardous materials testing and abatement
• Building permit fees
• Builder's risk insurance
• Contractor's overhead and profit, not to exceed 15 percent of the allowable construction cost
• Total architectural, engineering, and project management services (A/E/PM), not to exceed 15 percent of the final construction cost
• Eligible costs of A/E/PM services shall not exceed 4 percent of the construction cost for that phase if construction plans are previously approved by the THC
• Project contingencies that exceed 10 percent of the construction costs are not eligible budget items
• Other services by audio, acoustical, security, architects, or metal or paint conservators are subject to the total professional services limits stated above (15 percent of total construction cost)
• Reimbursables, such as travel and copies, as defined by AIA's <i>Handbook of Professional Practice</i>
• Reasonable costs associated with preparation of completion report
• Historic and reproduction historic furnishings in the courtrooms, such as judge's bench, railings, jury box, witness stand, attorney's tables, chairs, and audience seating
• Historic and reproduction historic furnishings in other major public spaces, such as clerk's and tax assessor's counters, railings, safes, and cabinetry
• Historic fireproof vault furniture

Eligible Expenses Are (Continued)

- Data conduit
- Area carpet/loose rugs of approved design are eligible costs in spaces where functionally required
- Restoration of significant site elements that restore the site to a significant historic appearance, up to \$50,000
- Built-in security systems and equipment, such as card readers and cameras, up to \$20,000
- Audio-visual systems, such as amplifiers, microphones, and loudspeakers, up to \$50,000
- Generators serving the courthouse

Ineligible Expenses Are:

- Master plan preparation costs
- Grant application preparation costs
- Temporary or permanent relocation, moving, and housing costs
- Loan financing costs
- Compensation to the architect related to value engineering
- Compensation to a grant manager
- Work in non-historic additions or to buildings other than the courthouse, except demolition as stated previously
- Work on non-grant recipient property unless approved by the THC
- Sitework not related to building preservation, such as irrigation systems, site lighting, site furnishings, and landscaping materials
- Historic site restoration costs over \$50,000
- Security system costs over \$20,000
- Audio-visual systems costs over \$50,000
- Movable office furnishings and office equipment (historic and non-historic), such as loose chairs and personal office furniture, filing cabinets, etc.
- Data wiring
- Telephone systems and equipment
- Computer servers and terminals
- Appliances
- Clock relocation if not to its original location
- Parking lot striping and paving
- Grant recipient's companion rededication plaque

THE REIMBURSEMENT REQUEST FORM

A blank **Reimbursement Request** form, along with a sample cover letter, is provided for your use. If you need any help filling out the form or have questions, please contact your **THCPP Project Reviewer**. Questions regarding grant funds management should be directed to **THC Grant Coordinator, Megan Koch** at 512-463-3805. If you wish the funds to be transmitted electronically, please make these arrangements prior to your first request.

INSTRUCTIONS FOR FILLING IN THE REIMBURSEMENT REQUEST FORM

The **Project Information** contains general information such as the judge's or mayor's name and phone number. The grant fiscal year is 2018–19, and the **Grant Number** is *the name of the county-10-2018*. For example, Pecan-10-2018. The **Total Grant Award** is the amount listed in the Funding Agreement as the state funds, including any amendments due to either an increase in funds through a supplemental grant or a decrease in funds through a recapture. The **Type of Payment Requested** will always be **Partial** unless the project is completed. To submit a **Final** request, please see final request instructions below.

The **Payment Recipient** and chief financial officer is usually the grant recipient's treasurer. The **Federal or State Identification Number** is the taxpayer identification number and is required for our accounting.

The **Period Covered This Request** is the period during which the expenses were incurred or services delivered, not the date the checks were written or invoices were received. While this period can overlap with other requests or exceed 30 days, it may not include any expenses incurred prior to the date of the grant award or any construction expenses incurred prior to the notice to proceed to construction. It is not necessary or preferred for the grant recipient to submit a separate reimbursement request per month.

The **Reimbursement Request Form** is an Excel spreadsheet organized by the **16 Divisions of Construction**, and the blue sections will be filled in by the requestor. Please enter the construction costs into those 16 Divisions using **Attachment B**, the original cost estimate, from the **Funding Agreement** to fill in the costs for each Division in Column A, **Approved Project Cost Estimate**. The costs in this column should remain fixed throughout the project. After a contract is signed for the project construction, please use the cost from the contract with the contractor to fill in Column B, **Current Actual Project Costs**. The **Current Actual Project Costs** may change throughout the project due to changes in the project scope or discoveries of unforeseen conditions that increase the project cost through Change Orders or other means.

The grant recipient and its consultant should direct the contractor to submit their Applications for Payment with costs divided into the 16 Divisions and to provide a line item for the percentage of the total construction cost that is allocated to the contractor's Overhead and Profit.

Using the **Schedule of Values** submitted by the contractor with the Application for Payment, enter in the amounts invoiced for each Division in the fourth column, **Current Request**. The third column, **Previous Requests**, will be automatically calculated based upon the sum of the amounts of requests previously entered in the **Current Request** column.

Please enter any ineligible costs in the last blue row for the three columns, **Approved Project Cost Estimate**, **Current Actual Project Costs**, and **Current Request**. Please enter the amount of the contractor's **Retainage**, usually 10 percent.

In the **Contractor Overhead and Profit** section, please enter the percentage of **Subtotal A, Allowable Costs** that was provided as the contractor's overhead and profit on the Application for Payment or in the contractor's contract. This percentage will remain fixed and will only need to be entered once.

In the **Contingency** section, please enter the percentage of construction contingency that was provided in the contractor's contract.

On the **Other Costs (Outside the General Contract)** line, enter any eligible costs paid by the owner that were not included in the contract with the contractor. One example is the abatement of hazardous materials, which is often a separate contract and is therefore not performed by the general contractor.

In the **A/E (Architect/Engineering) Services and Additional Professional Services** section, please enter the percentage of any **Design Service** fees and **Construction Administration** fees provided in the current Architect's contract. The total amount of A/E fees associated with this project cannot exceed **13 percent for Design Services** (production of construction bid documents) and **4 percent for Construction Administration** (the services provided by an architect during construction). While the grant recipient may pay fees beyond the allowable fees in both categories, the THC cannot reimburse for fees that exceed **16 percent of the Total Allowable Construction Cost**. Enter any amounts for **Additional Services** agreed to in the architect's contract. If the grant recipient had any A/E fees associated with this project paid by a previous THCPP grant such as through a Planning Grant, enter the amount of those fees paid by the THC in the line item **Past A/E Fees**. If you need any help determining that amount, please contact your project reviewer.

In the **Reimbursement and Match Calculation** section, please enter the percentage of the total project cost being paid by the grant recipient, or the **Local Match** percentage as entered on the most current **Attachment A** of the **Funding Agreement**. Note that this percentage is rounded to a whole percentage for interim reimbursement purposes and the final amount of the THC grant will be reconciled at the time of the final reimbursement request. The amount of money contributed by either the grant recipient or the THC may change, but the percentage should remain fixed.

Required attachments for each reimbursement request include documentation for the previous quarter's eligible project costs, as follows:

Expense Summary

If more than one check is involved in the reimbursement request, provide a summary or tally for 1) the eligible portions of check amount, 2) the name of the vendor, and 3) total eligible project costs for this period. If portions of any invoice do not apply to this project or are ineligible for reimbursement, highlight that information and/or provide a note calling attention to its exclusion in the total project expense for that period.

Reimbursement for professional services (i.e., engineer's and architect's fees), to include:

- a billing statement(s) from the project professional pertaining to this contract only, and
- a copy of the associated cancelled payment check(s) or voucher(s)

Reimbursement for construction work must be accompanied by

- a complete **Certified Application for Payment** to the contractor signed by the architect, including the **Schedule of Values** describing the work accomplished to date
- a copy of the cancelled payment check(s) or voucher(s) to the contractor (*If your bank cannot provide a canceled check to document the expense, please ask the bank to provide a voucher statement or document that shows the funds have cleared the grant recipient's bank account*)

Invoices from the project architect to the grant recipient will not be reviewed by the THC prior to payment; however, the THC recommends that the grant recipient ensure that the submittal is approved by the architect for payment. Your THC Project Reviewer should be consulted if you have questions regarding the eligibility of project costs.

The requests do not need to be made at the same time each month, and may include more than 30 days of project expenses.

The grant recipient should receive a payment check from the THC for all approved eligible expenses within 30 days of receipt of the request. It is our goal to process the requests as quickly as possible and transmit the funds electronically. Reimbursements may be held, however, if further information related to the execution or documentation of the expense is needed. The THC may request a site visit or additional documentation from the grant recipient or architect to confirm that the expenses are eligible and approved.

If a request has been submitted and you need to check its status, contact Olivia Hillmer at 512-463-8821.

Submitting a Reimbursement Request for partial payment

You may mail a hard copy or email a PDF directly to olivia.hillmer@thc.texas.gov. Please ensure the pdf is of the highest quality for printing, otherwise, a hardcopy will be required. Faxes will not be accepted.

Address for regular USPS mail:

TEXAS HISTORICAL COMMISSION
Attention: Olivia Hillmer
P.O. Box 12276
Austin, TX 78711-2276

By courier to:

Olivia Hillmer
Texas Historical Commission
108 W. 16th Street, 2nd Floor
Austin, TX 78701

Submitting a Final Reimbursement Request

The THC will retain the final 10 percent of the grant award until the project is complete and all grant requirements have been met. **Projects that are not completed by their scheduled date of completion and/or six months after substantial completion will risk forfeiture of the final reimbursement.** Project and reimbursement schedules initially developed for the grant project are firm unless written requests have been received and the THC has granted extensions.

The project is completed when the owner satisfies the final application for payment to the contractor and architect, and all grant program requirements have been fully met. The grant recipient should then submit a **final request for reimbursement to the THC**. This request will include a copy of the final application for payment, a Certificate of Substantial Completion, Release of Retainage, and a statement that the owner has received the project close-out documents.

Please note that the **THCPP Grant Project Completion Report** (detailed requirements in Section 4A) also must have been forwarded to and approved by the THC. This report is prepared by the project professional or architect contracted by the grant recipient and documents the final product. The completion report will contain valuable information on the project. **Please ensure that the report is submitted in a timely manner after completion of the project or the grant will not be fully reimbursed.**

Project Cost Changes

Should the final cost of the project be **less** than expected or stated in the Funding Agreement, Attachment C: Estimated Project Budget, the respective state and local contributions will be adjusted according to the original percentage as given in **Attachment A: Source of Funds Statement**. This requires a bilateral amendment to the Funding Agreement.

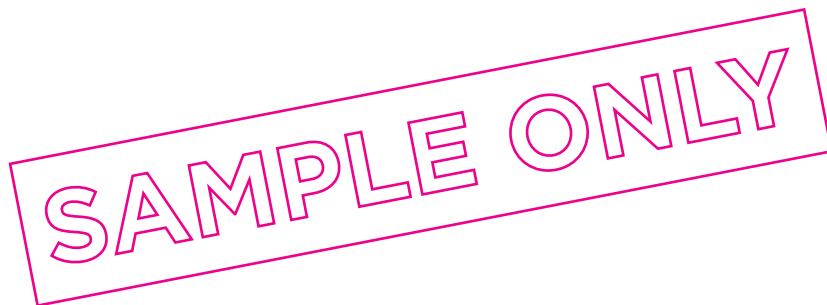
The THC does not anticipate increasing its funding beyond the initial award for this round. **Therefore, the grant recipient will be responsible for its grant match and any increases due to any unforeseen conditions encountered during project planning, bidding, or construction.**

If the cost of the project **exceeds** the amended budget, the grant recipient may consider the following options:

1. Fund the additional cost with available local resources
2. Modify the scope of the project to fit within the funding programmed (subject to approval by the THC)
3. Re-advertise the project for new contractor bids
4. A combination of options 1, 2, and/or 3

The THC will work with you to prioritize all necessary work if a budget shortfall occurs. A bilateral amendment to the Funding Agreement will be executed to update the Agreement and adjust the percentage shares of the project cost, similar to the procedure stated above.

Project costs that were not included in the grant application budget must be authorized and approved at the request of the grant recipient to be eligible for reimbursement through revision of the monthly reimbursement request form.



September 1, 2018

Olivia Hillmer
Courthouse Program Specialist
Texas Historical Commission
Texas Historic Courthouse Preservation Program
PO Box 12276
Austin, TX 78711-2276

RE: Pecan County Courthouse Preservation Project, Reimbursement Request #5

Dear Olivia:

This request for reimbursement for the county's expenditures, are for the period August 1, 2018– August 30, 2018. During August, we paid the following vendors:

Expense Summary

Payee	Invoice #/Description of Services	Check #	Amount
Construction Co.	Pay Application #1, Aug 1–31, 2018	1245	\$152,000.00
Architect	Invoice #5, Aug 1–31, 2018 (for bid negotiations)	1241	\$ 6,000.00
Pecan Statesman	Statement #5647, Aug 7, 2018 (advertising project out for bid)	1242	\$ 300.00
	Total eligible project costs		\$158,300.00

The "Reimbursement Request Form," copies of the invoices referenced above, and the associated canceled checks are attached.

Sincerely,

Grant recipient's CFO

SECTION IV: Project Closeout

Often, the objectives of the project cannot be met or measured until the final work is completed and the building is re-occupied by the grant recipient.

Generally, These Items Must Be Fulfilled for the Project to Be Considered Complete:	
<ul style="list-style-type: none">• All items of work contained in the contract documents and the funding agreement have been performed to the satisfaction of all parties.• A Certificate of Substantial Completion has been issued with an attached punch list showing items to be completed.• Contractor's record drawings, progress meeting minutes, and photographs are completed and provided to the architect. These are copied and included with the grant completion report documents.• If applicable, Operations and Maintenance (O&M) manuals and warranties have been provided to the grant recipient by the contractor. A transmittal letter is provided to the THC.• Final applications for payment from the contractor and final invoices from the architect have been paid by the grant recipient.• Release of liens and surety have been provided to the grant recipient by the contractor.• Telephone, audio-video systems and information technology systems are now operational.• Training has been provided to the grant recipient's staff on new systems operations.• Service contracts are established by the grant recipient for equipment maintenance.• Three copies of the approved Grant Project Completion Report are provided to the THC for our office and state archives. If the third copy is submitted directly to the grant recipient, a copy of the transmittal letter is provided to the THC.• Final reimbursement is made to the grant recipient by the THC upon completion of all items listed above.	

4A. Completion of the Work

As the work of the contractor ends, a “punch list” or identification of defects to be remedied by the contractor is prepared. All parties should be involved in preparing these lists. The contractor should proceed methodically to address all items in a timely manner.

An official date of “substantial completion” should be determined in consultation with the THC. Generally, it is considered “sufficiently complete in accord with the Contract Documents so that the Owner can occupy or utilize the work for its intended use.” It is important to note that warranties often take effect at this point and funds are released that reduce the contractor’s financial obligation to the project, so certification of substantial completion should be made with due care.

Upon Substantial Completion of the project, the architect shall prepare a draft **Round X Grant Project Completion Report** (completion report) documenting the work; see “Requirements” attached. The completion report should provide photographs taken before, during, and after construction, a narrative description of the project work that identifies sources for significant products and materials, a description of their use, and identification of the major and specialty subcontractors involved with the work.

The completion report also includes **close-out documents**: a certificate of occupancy, where required by local jurisdiction, all warranties, maintenance manuals and contracts, and required operating instructions and **record drawings or “as-builts”**—incorporating the construction changes and showing all plans, elevations, and building sections. A **warranty itemization**—listing of all material and system warranties with periods and contact information—is a valuable resource for the grant recipient in maintaining the courthouse later. The objective is to provide the owner and the THC with a reproducible set of documents that can be used for building operation, maintenance, and future work.

Allow 30 days from the date of receipt for the THC to respond with comments. Upon approval, three final copies of the completion report are required. The grant recipient will submit two copies with their final Request for Reimbursement to the THC and retain one copy for their records. The grant recipient will not be cleared for final reimbursement until the THC has received a satisfactory project completion report and the required copies.

Note that per the Funding Agreement, the grant recipient must submit a draft of the completion report within three months of substantial completion. The final completion report must be received within six months of Substantial Completion. **Failure to submit the report promptly may result in forfeiture of any remaining grant award, including the 10 percent retainage.**

Also, during the project close-out, we recommend that a warranty inspection is scheduled for a date less than one year following the date of substantial completion. The inspection should include the project architect, contractor, THC staff, and grant recipient representatives. Note that the grant recipient is responsible for documenting any items that are unsatisfactory prior to the warranty’s expiration and providing that documentation to the contractor.

ROUND X GRANT PROJECT COMPLETION REPORT REQUIREMENTS

Purpose

- To document the changes that occurred to the property as a result of this project and why they were made. Further impacts to original materials may be avoided, and the historic building fabric may be interpreted in terms of its historic significance, with an identification of which elements of the building are original, which have been reconstructed based on historic evidence, and which were inserted to serve current functional needs.
- To provide a record of the substantive investment of state funds made in the property. The condition of the building prior to work, work undertaken, and the final result should be clearly documented.
- To facilitate the grant recipient's ability to operate and maintain the building in a good state of repair.

When Required

All THCPP-funded construction activities will require a completion report. The minimum report requirements may be adjusted by the THC to suit the specific project.

Completion Report Format and Duplication Requirements

- **Three Copies**
 - One copy for the THC
 - One copy for the Texas State Library and Archives Commission
 - One copy for Grant Recipient, mailed directly with a transmittal provided to the THC
- **Three-Ring Binders:** 8.5" x 11" with tabbed dividers and a title insert for the cover and spine
- **Electronic Copy:** The entire report, including photographs, drawings, and project manual, on a compact disc, thumb drive, or equivalent

***Please note that Volume IV should only be sent to the grant recipient**

Record Drawings Format and Duplication Requirements

- **One Full-Size Set of the Architectural Drawings Only** (A Series) on Archival Paper (vellum or similar) of the "As-Built" field set kept by the General Contractor, documenting changes during construction and incorporating RFI responses, ASIs, and Change Orders
- **Three Half-Sized Copies of the Full Record Set** and three reduced-size copies of the entire record set (half-sized or quarter-sized if legible) on acid-free paper. Electronic copies of record drawings on three compact discs saved as a PDF.
- **Three Copies of the Record Project Manual (Specifications):** Bound 8.5" x 11" format. Three compact discs each with specifications saved as a searchable PDF.

MINIMUM REPORT REQUIREMENTS

Organization into separate volumes is suggested, but may not be appropriate for all project scopes. Please include all of the relevant information and organize the Completion Report contents using the outline below.

VOLUME I
Title Page <ul style="list-style-type: none">• Project Name
• Address
• THCPP Grant Number
• Award amount(s) including Supplemental Funding
• Date of Award(s)
• Date of Project's Final Completion
TAB 1 Table of Contents
TAB 2 Project Personnel Contact Information: <ul style="list-style-type: none">• Local Officials: County Judge, Commissioners, Mayor, City Council, Auditor, Treasurer, and County Historical Commission Chair
• THC Representatives: Executive Director, Division Director, and Courthouse Project Reviewer
• Professional Consultants: Architect(s), Engineers, Paint Conservator, AV Consultant, Acoustical Consultant, and others
• Construction Contractors: General Contractors and Subcontractors
TAB 3 Executive Summary Provide a one-page narrative that describes the project, including the scope of work undertaken, any unusual discoveries, and any substantial changes, and why they occurred.
TAB 4 Grant Program Documents <ul style="list-style-type: none">• Copy of Funding Agreement
• Copy of Property Easement
• Certificate of Insurance
• Copy of the State Antiquities Landmark Permit, if applicable

VOLUME I (Continued)

TAB 5

Project Narrative

- **Existing Conditions:** Description of the as-found conditions, emphasizing historic and non-historic features of the property
- **Master Plan Proposal:** Summary of the initial proposal at the master plan stage, discussing condition of historic fabric slated for removal and documentary evidence of features to be reconstructed
- **Project Development:** Recount of changes to the project as the plans were developed
- **Work Completed:** Summary of work performed, including unique processes or products
- **Future Work:** List of work not undertaken for budgetary or logistical reasons and deferred to a later phase

TAB 6

Project Cost Data

- **List Project Funding Sources:** Donor name, source of donation, kind, and amount
- **Preliminary Cost Estimate:** Copy from master plan (includes A/E fees)
- **Project Cost Estimate Worksheet:** Copy from grant application
- **Actual Construction Cost:** Organized to correspond to Reimbursement Request Form
- **Cost Per Square Foot:** Total project cost per gross square foot (includes A/E fees)
- **Contractor's Final Application for Payment,** including Schedule of Values
- **Architect's Final Invoice**
- **Grant Reimbursement Summary** (provided by the THC)

TAB 7

Administrative Documents

- **Bid Advertisement**
- **Bid Tally Sheets**
- **Contract for Architectural Services:** Typically the AIA Document Standard Form of Agreement Between Owner and Architect
- **Construction Contract:** Typically the AIA Document Standard Form of Agreement Between Owner and General Contractor with General Conditions
- **Change Orders:** Any executed changes of scope and cost that modify the construction contract
- **Certificate of Substantial Completion,** including the "punch list" of items for completion and correction
- **Contractor's Affidavit of Release of Liens:** May also include Consent of Surety to Final Payment
- **Final Completion:** Letter of acceptance by the grant recipient with verification of punch list completion from the Architect

VOLUME II

TAB 1

Project Progress Photographs

- **Index of Photographs:** Numerically listed with a brief identification and date taken
- **Content:** Showing conditions **before** all construction begins and photographs of **the same location** during construction at regular intervals that are appropriate to the scope and progress for that location. Before photographs are CRITICAL.
- **Label:** Project, Photo Number, Subject, and Date (referencing the Index)
- **Format:** Digital at 1600 x 1200 resolution or 35 mm, color
- **Prints:** No more than four images per 8.5" x 11" page on archival paper protected in a three-hole clear plastic sleeve

TAB 2

Project Record Photographs

- **Index of Photographs:** Numerically listed with a brief identification and date taken
- **Content:** Showing conditions **after** the construction is complete and the building is clean. Include at least one photograph of each elevation, exterior details and at least 12 interior views showing all historic courtrooms, public corridors, stairs, vaults, and typical office.
- **Label:** Project, Photo Number, Subject, and Date (Referencing the Index)
- **Format:** Digital at 1600 x 1200 resolution or 35 mm, color
- **Prints:** Professional Quality 8" x 10" color photographs on archival paper protected in a three-hole clear plastic sleeve

VOLUME III

Project Record Documents

TAB 1

- **Conservator's Report,** also known as the Paint and Finish Analysis
- **Final Finish Schedule,** including paint color chips, wood species and finish, hardware, and other specialty finishes
- **Construction Material Testing:** Mortar, concrete, structural steel weld inspections, etc.
- **Acoustical Analysis and Report**

TAB 2

- **Hazardous Materials Survey:** Typically prepared during the design phase
- **Clearance Report:** Provided by environmental consultant following abatement

TAB 3

- **Geotechnical Report,** also known as the Soils Report (if requested by Engineer)
- **HVAC Testing and Balance Report:** Confirm that airflow and chilled water flow for HVAC system meets design criteria—performed following the end of construction

TAB 4

- **Submittal Log:** provided by the General Contractor at the beginning of the project

VOLUME III, continued

TAB 5

- **RFIs:** “Requests for Information” issued by Contractor during construction seeking clarification and responded to in writing by the architectural or engineering consultants. Provide ONLY in Digital Format for the THC and Archive Copies.
- **ASIs:** “Architect’s Supplemental Instructions” issued by the architectural or engineering consultants, often in response to RFIs from the contractor. Provide ONLY in Digital Format for the THC and Archive Copies.
- **Progress Meeting Minutes:** Documentation of biweekly construction progress meetings and site visits. Provide ONLY in Digital Format for the THC and Archive Copies.
- **Agendas** for any meetings other than Construction Progress Meetings

VOLUME IV

ONE COPY to be sent ONLY to the grant recipient and retained by the facility manager or equivalent

Stewardship Information

TAB 1

Warranty Data

- Index listing all warranties, each with contact info and expirations
- All manufacturer, product, and contractor warranty data
- Service Contracts: Current contracts for service on systems and/or equipment

TAB 2

Maintenance Recommendations

- Service frequency requirements
- Life expectancy estimates of equipment and systems
- Highest priority maintenance recommendations

TAB 3

Operation and Maintenance Manuals

TAB 4

Final Finish Schedule (Duplicate of Volume III, Tab 1)

TAB 5

MEP Test and Balance report

Commissioning reports, if applicable

Other Close-Out Documents

Submittals, Samples and Shop Drawings shall remain with the Architect and Contractor

4B. Stewardship

Stewardship of the courthouse is the responsibility of each grant recipient. The state's investment in restoring the building and updating the building systems should make this work easier.

We recommend that each grant recipient keep a building maintenance library with its Grant Project Completion Report forming the basis of its maintenance program. The record drawings and index of warrantee and service contracts will be invaluable for maintaining and servicing your equipment and systems. We also recommend that you develop a maintenance plan, perhaps in consultation with your project architect, to ensure that there is a regular inspection program and scheduled tasks that will keep the building functioning smoothly for years to come.

Also, please check with the THC to see if training opportunities are available for further education of the grant recipient's employees and maintenance staff.

THC staff are always available to consult with your grant recipient to help address any pending maintenance issues in a manner that best preserves the historic integrity of the building.

Currently, staff architect **James Malanaphy** is leading the **Texas Courthouse Stewardship Program**. Please contact him at **512-475-3285** if you have stewardship needs.

Texas Courthouse Stewardship Program

Beginning in 1999, the THCPP and its local partners have made significant financial investments to restore many valuable historic courthouses throughout the state. In order to protect and preserve these buildings for future generations, the Texas Courthouse Stewardship Program was created in 2005 to assist counties by fostering facility planning, budgeting, and training. The goal is to avoid allowing the facilities to fall back into a state of deferred maintenance and disrepair.

PROGRAM ACTIVITIES

Site Visits and Easement Monitoring

Our professional staff will visit completed projects to identify and assist in resolving any problems, to monitor the level of ongoing maintenance, and to discuss future preventative maintenance needs with county officials and facility maintenance managers. Renewal of property insurance policies is an aspect of the easement monitoring work that ensures the building's value is protected.

Training Workshops

The THC will host and organize maintenance and stewardship training workshops for county officials and staff. The Texas Courthouse Stewardship Workshops, sponsored by the Texas Land Title Association, have been conducted in Austin since 2007. All are considered very successful with a large number of participants from counties that received grants in Found VIII.

Maintenance Planning

Counties will be encouraged to develop a cyclical maintenance plan for immediate and long-term care of their particular historic building and site. A complete plan should include inspection schedules, recommendations for appropriate maintenance materials and procedures, and projected budgets for the prescribed work. The THC can provide guidance by offering technical preservation resources, a cyclical and preventative maintenance checklist, sample templates for schedules, budget formats, and inspection forms.

Technical Consultations

THC architectural staff is available for consultations to help counties address pending issues in a manner that best preserves the historic integrity of the building.

HOW TO REACH US

For more information, please contact the THC's Architecture Division at (512) 463 6094 or email architecture@thc.texas.gov.

Project Resources

For an inspection or review for compliance with the Texas Accessibility Standards contact:

Robert Posey
Texas Department of Licensing and Regulations
920 Colorado Street, Tenth Floor, Austin, Texas 78701
800-803-9202 or 512-463-6599, license.state.tx.us

For questions about records management or archival matters contact:

Craig Kelso
Texas State Library and Archives Commission
P.O. Box 12927, Austin, Texas 78711-2927
512-463-5467, tsl.state.tx.us

For information regarding the design of courtrooms contact:

State Office of Court Administration
P.O. Box 12066, Austin, Texas 78711
512-463-1629, courts.state.tx.us/oca/ocahome.asp

For questions regarding state fire code concerns contact:

State Fire Marshal
P.O. Box 149104, Austin, Texas 78711-9221
800-578-4677 or 512-463-6169, tdi.state.tx.us

The following publications on preservation standards may be requested free of charge through the National Park Service's Technical Preservation Services by visiting www.nps.gov/tps/standards.htm:

The Secretary of the Interior's *Standards for the Treatment of Historic Properties 2017*, U.S. Department of the Interior, National Park Service, 1995.

Caring for the Past: Preserving, Rehabilitating and Restoring Historic Buildings, U.S. Department of the Interior, National Park Service, 1999–2000.

Comprehensive listing of sales publications, including the popular “Preservation Briefs” series, *Preservation Tech Notes* and *Guidelines for Rehabilitating Historic Buildings*.

For guidance on architectural practices, such as project scheduling, contractor payment applications, schedules of values, project close-out, etc., please refer to:

The Architect's Handbook of Professional Practice, Fifteenth Edition. American Institute of Architects Press, 2014.

Historic Preservation: Project Planning and Estimating, R.S. Means Company, Inc. Kingston, MA, 2000.



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